

## Electronic Acknowledgement Receipt

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| <b>EFS ID:</b>                              | 3919505  |
| <b>Application Number:</b>                  | 10799205   |
| <b>International Application Number:</b>    |  |
| <b>Confirmation Number:</b>                 | 7411   |
| <b>Title of Invention:</b>                  | Block trading system and method providing price improvement to aggressive orders |
| <b>First Named Inventor/Applicant Name:</b> | Henri Waelbroeck   |
| <b>Customer Number:</b>                     | 09629  |
| <b>Filer:</b>                               | Steven D. Underwood/Nancy Swanson  |
| <b>Filer Authorized By:</b>                 | Steven D. Underwood  |
| <b>Attorney Docket Number:</b>              | 061165-5001US  |
| <b>Receipt Date:</b>                        | 10-SEP-2008  |
| <b>Filing Date:</b>                         | 11-MAR-2004  |
| <b>Time Stamp:</b>                          | 15:32:01   |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)  |

### Payment information:

|  |                 |
|--|-----------------|
| Submitted with Payment                   | yes             |
| Payment Type                             | Deposit Account |
| Payment was successfully received in RAM | \$ 180          |
| RAM confirmation Number                  | 809             |
| Deposit Account                          | 500310          |
| Authorized User                          |                 |

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## File Listing:

| Document Number | Document Description | File Name         | File Size(Bytes)/ Message Digest         | Multi Part /.zip | Pages (if appl.) |
|-----------------|----------------------|-------------------|--|------------------|------------------|
| 1               |                      | 61165_5001IDS.pdf | 186507                                   | yes              | 5                |
|                 |                      |                   | 023bea3bc4b4f85682f82cd88d3060e948254f39 |                  |                  |

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|--|--|--|-------|-----|--|
|  | Multipart Description/PDF files in .zip description  |  |       |     |  |
|  | Document Description                                 |  | Start | End |  |
|  | Information Disclosure Statement Letter              |  | 1     | 4   |  |
|  | Information Disclosure Statement (IDS) Filed (SB/08) |  | 5     | 5   |  |

### Warnings:

### Information:

|   |               |                 |  |    |    |
|---|---------------|-----------------|--|----|----|
| 2 | NPL Documents | NPL_Bartley.pdf | 611308                                   | no | 10 |
|   |               |                 | fe4320a6ede435f4d681172b5efae672dd1a3f3f |    |    |

### Warnings:

### Information:

|   |                        |              |  |    |   |
|---|------------------------|--------------|--|----|---|
| 3 | Fee Worksheet (PTO-06) | fee-info.pdf | 30210                                    | no | 2 |
|   |                        |              | cbda2766d366d4a3d61e5f4a4ee5ff558708916c |    |   |

### Warnings:

### Information:

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### New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.